



# **LEARNER SUMMATIVE ASSESSMENT GUIDE & PoE**

## **Operate a tracked dozer**

Unit Standard 262729

Level 2 Credits 15

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## *Contact Details*

<b>Unit Standard:</b>	260729				
<b>Course:</b>	Operate a tracked dozer				
<b>Assessor Details</b>					
<b>Name</b>					
<b>Branch</b>			Registration No:		
<b>Contact Details</b>	email:				
	Phone:		Fax:		
<b>Moderator Details</b>					
<b>Name</b>					
<b>Branch</b>					
<b>Contact Details</b>	email:		Registration No:		
	Phone:		Fax:		
<b>Candidate Details</b>					
<b>Surname</b>			Name		
<b>College</b>			ID No		
<b>Branch</b>					
<b>Contact Details</b>	email:				
	Phone:		Fax:		
Vehicle type					
Vehicle registration					

## *Competence*

Congratulations on completing the program. We sincerely hope you enjoyed the programme and that the learning experience was enriching.

The fact that you have attended training, however, is not sufficient evidence of your competence for us to award you a certificate and the credits attached to this programme.

You are required to undergo assessment in order to prove your competence to achieve credits leading to a national qualification.

### *Being Declared Competent Entails:*

Competence is the ability to perform whole work roles, to the standards expected in employment, in a real working environment.

There are three levels of competence:

- Foundational competence: an understanding of what you do and why
- Practical competence: the ability to perform a set of tasks in an authentic context
- Reflexive competence: the ability to adapt to changed circumstances appropriately and responsibly, and to explain the reason behind the action

To receive a certificate of competence and be awarded credits, you are required to provide evidence of your competence by compiling a portfolio of evidence, which will be assessed by a SETA accredited assessor.

### *You Have to Submit a Portfolio of Evidence*

A portfolio of evidence is a structured collection of evidence that reflects your efforts, progress and achievement in a specific learning area, and demonstrates your competence.

### *The Assessment of Your Competence*

Assessment of competence is a process of making judgments about an individual's competence through matching evidence collected to the appropriate national standards. The evidence in your portfolio should closely reflect the outcomes and assessment criteria of the unit standards of the learning programme for which you are being assessed.

To determine a candidate's knowledge and ability to apply the skills before and during the learning programme, formative assessments are done to determine the learner's progress towards full competence. This normally guides the learner towards a successful summative (final) assessment to which assessor and the candidate only agree when they both feel the candidate is ready.

Should it happen that a candidate is deemed not yet competent upon a summative assessment, that candidate will be allowed to be re-assessed. The candidate can, however, only be allowed three reassessments.

When learners have to undergo re-assessment, the following conditions will apply:

- Specific feedback will be given so that candidates can concentrate on only those areas in which they were assessed as not yet competent
- Re-assessment will take place in the same situation or context and under the same conditions as the original assessment
- Only the specific outcomes that were not achieved will be re-assessed

Candidates who are repeatedly unsuccessful will be given guidance on other possible and more suitable learning avenues.

In order for your assessor to assess your competence, your portfolio should provide evidence of both your knowledge and skills, and of how you applied your knowledge and skills in a variety of contexts.

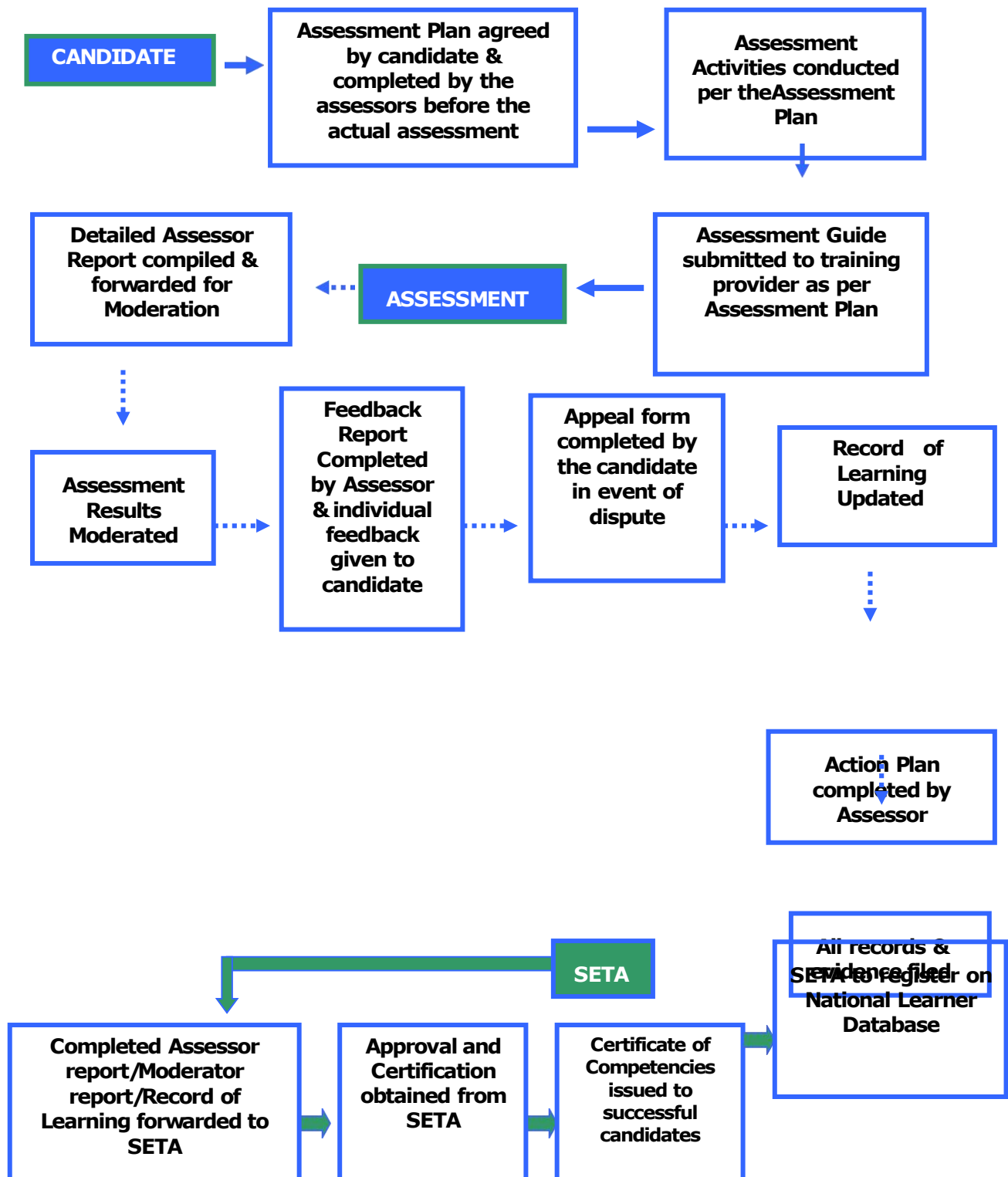
## *Appeals & Disputes*

The candidate has the right to appeal against assessment decision or practice they regard as unfair. An Appeals and Disputes procedure is in place and communicated to all assessment candidates in order for them to appeal on the basis of:

- Unfair assessment
- Invalid assessment
- Unreliable assessment
- Unethical practices
- Inadequate expertise and experience of the assessor

Appeals have to be lodged in writing (Candidate Appeal Form) & submitted to TRAINING PROVIDER internal moderator within 48 hours, following the assessment in question. The moderator will consider the appeal & make a decision regarding the granting of a re-assessment. The learner will be informed about the appeal-outcome within 3 days of lodging the appeal. Should the learner not be satisfied with the internal appeal outcome, the learner will be advised of the rights to refer the matter to the SETA ETQA.

## Assessment Process Flow



## ASSESSMENT STRATEGY

This assessment exercise will cover the outcomes required in order to achieve a competency certificate. The purpose of the assessment process is to gather enough evidence to prove all unit standard outcomes were achieved.

Competency will be assessed through class hands on tasks input and performance based assessment to be recorded in POE. Assessment evidence should be sufficient to prove that the candidate is competent in all require tasks set by the unit standards.

A summative assessment will be conducted at end of course to confirm assessment judgments. Principles of fairness, validity, practicability, reliability and consistency will be adhered to throughout.

<b>Unit Standard Title</b>	Operate a tracked dozer		<b>Unit Standard Code</b>	262729
<b>Level</b>	Level 2		<b>Credits</b>	15
<b>Purpose of Assessment</b>	The purpose of this assessment is to achieve the first step into applying the acquired skills and knowledge in the workplace.			
<b>Assessment Procedures</b>	<p>An integrated assessment approach will be followed to allow for practical and theoretical components. This entails the assessment of a number of unit standards, outcomes and criteria together in one assessment activity. Candidates are not only assessed against specific outcomes, but also on critical outcomes, attitudes and values.</p> <p>A summative competence judgment will be made on the basis of all assessment evidence produced, that proves that the candidate can be consistently judged as competent against the outcomes of the unit standards and the qualification as a whole.</p> <p>Candidates take responsibility for their own assessment and should notify the assessor when they are ready for assessment.</p> <p>Candidates will receive feedback after the summative assessment, which will be discussed after all assessments have been completed.</p> <p>All assessments will be reviewed to ensure that assessment practices are valid, fair, transparent, consistent and current.</p> <p>An Internal/External moderator will moderate assessment practices. The SETA will also conduct external moderation.</p>			
<b>Context of Assessment</b>	<b>Assessment Method</b>	<b>Assessment Conditions</b>	<b>Who will conduct assessment</b>	<b>Assessment results and feedback</b>
	Questionnaire Observation checklist Verbal assessment	Input based assessments	Assessor	Immediate

# *Assessment Preparation*

## **Preparing The Candidate**

<b>Candidate Name</b>		<b>Date</b>	
		<b>Time</b>	
<b>Name of Assessor</b>		<b>Venue</b>	
<b>How to prepare the candidate</b>	<b>Document Requirements</b>	<b>Agree (tick)</b>	<b>Action Required</b>
Explain to the candidate why you are meeting and the purpose of the assessment.	NQF Framework Assessment process		
Discuss the assessment plan in detail.	Assessment strategy		
Explain assessment process, show assessment instruments to candidate and describe assessment conditions.	Assessment instruments		
Identify the role-players during assessment.	Assessors Moderator		
Describe the evidence required to be declared competent.	Examples of evidence		
Explain how evidence will be judged.			
Explain to the candidate how to prepare: Give candidate summative task description.	Summative task description		
Confirm with the candidate what he/she should bring to the assessment.	Detailed briefing on exact requirements to be given to candidate		
Ensure that candidate understands the procedures of all assessment practices.	Appeals procedure Moderation procedure Assessment policy		
Ask the candidate if he/she foresees any problems or identify any special needs.	List needs		
Check with candidate that he/she clearly understands the assessment procedure.			
<b>Comments or questions:</b>			



### Assessor's Declaration:

I hereby declare that I have prepared the candidate for assessment, the candidate was consulted and all stakeholders have been informed and the workplace is prepared to ensure valid and fair assessment.

Assessor Name	Signature

### Interview (RPL Purposes)

The purpose of the interview is two-fold:

- A type of self-assessment for the candidate. It should assist the assessor in deciding the approach towards assessment in terms of making competence decisions where candidates are successful in proving their prior learning.
- To determine candidate preparedness for prior learning conducted and sensitize candidates to re-assessment.

### Questions

Have you attended any short courses / courses that amount to prior learning before the start of the learnership / qualification? *(Note that it should be relevant to the qualification against which RPL is being conducted)*


Did you attend all modules of the learnership / qualification training?


How were you prepared for assessments?


How were assessments conducted?


Did an accredited training provider conduct the course/s?


Did you attend classroom training during the course?


What work experience do you have to prove competence against a unit standard/s for RPL purposes? (State number of year's experience)


Do you have a relevant certificate from an approved institution?


Do you have samples of work or other forms of evidence that can prove your competence?


Do you have a Grade 12 (Matric) with English and Maths, or English only?


*Any evidence of competence provided during the course of the above interview must be considered during the planning phase of re-assessment and when making a judgement on candidate competence.*

## *Agreed Assessment Plan*

<b>Candidate's Name:</b>			
<b>Assessor's Name:</b>			
<b>Unit Standard Title:</b>	Operate a tracked dozer		
<b>Special Assessment Requirements</b>			
<b>Event</b>	<b>Date, time and location</b>	<b>Resources required</b>	<b>Evidence to be generated</b>
<b>Attend Training.</b>		Training material, Facilitator	Attendance Register
<b>Complete assessments</b>		Assessments	Completed documentation
<b>Complete Portfolio of Evidence.</b>		Portfolio of Evidence guide	Completed Portfolio of Evidence
<b>Submit Portfolio of Evidence to Training Provider</b>			Acknowledgement of receipt from Training Provider
<b>Assessor roles and responsibility</b>			
<b>Roles</b>	<ul style="list-style-type: none"> <li>• Assessor</li> <li>• Guide</li> <li>• Feedback Agent</li> <li>• Reviewer</li> </ul>		
<b>Responsibilities</b>	<ul style="list-style-type: none"> <li>• Consult candidate re assessment, assessment process and plan.</li> <li>• Agree assessment process and plan with candidate.</li> <li>• Forward documentation to candidate: plan, guide and assessment instruments.</li> <li>• Assess candidate with the use of different instruments.</li> <li>• Provide feedback on assessment findings.</li> <li>• Support candidate through assessment process.</li> <li>• Source feedback from candidate on assessment process.</li> <li>• Review assessment process and outcome.</li> <li>• Use assessment process as opportunity to transform assessment activities and outcomes.</li> </ul>		
<b>Candidate roles and responsibility</b>			
<b>Roles</b>	<ul style="list-style-type: none"> <li>• Candidate</li> <li>• Feedback agent</li> <li>• Reviewer</li> </ul>		
<b>Responsibilities</b>	<ul style="list-style-type: none"> <li>• Be available for assessment.</li> <li>• Be actively involved in the consultative process.</li> <li>• Learn from the assessment process.</li> <li>• Provide feedback to the assessor in terms of the assessment as learning activity.</li> <li>• Provide feedback to the assessor on the efficacy of the assessment process.</li> <li>• Review own role and assessor role in the assessment process.</li> </ul>		

<b>Assessment Instruments</b>	<ul style="list-style-type: none"><li>• Portfolio of evidence</li><li>• Questionnaire</li><li>• Observation checklists</li><li>• Verbal assessments</li></ul>	
<b>Assessment Process</b>		
<b>Step</b>	<b>Date</b>	
The assessment procedure will be as follows: <ul style="list-style-type: none"><li>• Complete the written assessment and if successful proceed to practical assessment.</li><li>• In the parked position, complete checks to be carried out.</li><li>• Perform the loading procedures.</li><li>• Proceed along a previously agreed route + 15 minutes.</li><li>• Perform the off-loading procedures.</li><li>• In a simulated scenario, perform the required reaction appropriate for the goods being conveyed.</li><li>• Assess reflexive competence by answering reflexive 'what if?' questions.</li></ul> <b>Time constraints are important in reinforcing the requirements of production in the workplace. Candidates must be able to operate safely under pressure situations.</b>		
<b>Feedback</b>	Written feedback to be given to all stakeholders at the end of the assessment process, as well as verbal feedback to the candidate during assessment activities.	
<b>Recording Process</b>	Process and findings to be recorded and submitted for record keeping purposes as well as moderation and verification.	
<b>Review Process</b>	The review process is the responsibility of the assessor and the candidate. Joint reviewing will take place after feedback has been given to the candidate.	
<b>Right to appeal</b>	The candidate must be advised of the right to appeal.	
<b>Accessibility and safety of environment</b>	<b>Step</b>	<b>Date</b>
	Site inspection conducted. Pre-assessment moderation conducted.	
<b>Resources Required</b>	Assignments POE Equipment: The accredited provider shall ensure that the following equipment is available for the duration of the training and assessment -  a. A lift machine in good working order applicable to the code, which shall include a load chart, range diagrams, load moment indicator (LMI) and a valid load test certificate in accordance with the Driven Machinery Regulations 18 or original equipment manufacturer specification. Further suitable;  b. A course to adequately train and assess the competence of the operator performing the assessment criteria as described above and the requirements of the applicable unit standard, and  c. The relevant attachments, lifting tackle for rigging a variety of loads and suitable loads for the practical operations. It is permissible	

for the physical equipment and facilities to be provided by the client organisation.

The following table outlines the schedule of the Assessment plan:

WRITTEN QUESTIONING	ORAL QUESTIONING	OBSERVATION	ORAL QUESTIONING
To assess your embedded knowledge and understanding of the unit standard, both written and oral questioning will be carried out.		An observation will be conducted and recorded on an observation checklist, which will be included in your portfolio of evidence. The assessor will provide you with feedback regarding your result of competent or not yet competent	
The written questioning phase will occur prior to the observation, and will take place in the room allocated for this purpose by your employer	Oral questioning occurs during the observation of the pre-start checks, and is recorded on the observation checklist.	The observation will be conducted at your workplace, using your equipment and location with which you are familiar	Reflexive oral questioning occurs after the observation stage, and will be conducted in your workplace area
You will have 30 minutes to answer the written questionnaire. The assessor will mark your answer sheet, and if having achieved the required target mark, you will proceed to the practical observation.	The pre-start checks oral questioning session will take approximately 5 minutes.	The observation will last approximately 60 minutes, during which time you will be expected to demonstrate all the criteria as laid out in the assessment plan.	The reflexive oral questioning session will take approximately 20 minutes
± 30 minutes	± 65 minutes, including 5 minutes verbal questioning		± 20 minutes
Total ± 1 hour 55 minutes (± 115 minutes)			

I confirm that:

- I have been consulted on and have agreed to the training and assessment process as detailed in the assessment guide.
- I have been advised of my right to appeal against any assessment that is unfair, unreliable, invalid or impracticable.
- I have read and understood the appeal procedure.
- I know that assessments may be moderated or verified by an external party.
- The purpose of the assessment has been clearly explained to me.
- The criteria have been discussed with me, and I know I will be assessed against these criteria.
- I know when and where I will be assessed, and I was given fair notice.
- I know how the assessment will be done, and any other requirements related to the assessment.

**Signed:** \_\_\_\_\_

**Date:** \_\_\_\_\_

<b>Overall Decision</b>	<b>Assessment</b>	Competent	Not yet competent	
Candidate's Signature			<b>Date</b>	
Assessor's Signature			<b>Date</b>	
Moderator's Signature			<b>Date</b>	

## *Record Of Learning*

Candidate's Name:				ID No		
Assessor's Name:				Ass. Reg. No		
Moderator's Name:				Mod. Reg. No		
Date:						
UNIT STANDARD	NQF LEVEL	CREDITS	DATE COMPLETION	SIGNATURE ASSESSOR	SIGNATURE MODERATOR	OF OF
262729	2	15				

## *Assessment Instructions*

These Assessor Instructions have been developed to guide assessors in the use of the Assessor Guide. The entire Assessment document was developed in compliance with NQF requirements, Unit Standard **262729** and the requirements of the OHS Act Construction Regulations 2003.

Ultimately, the focus of all Assessments of Machine Operators must be on SAFETY! In all situations and contexts where it may be necessary to deviate from the standard format in this Assessment document, the Assessor must ensure that Assessment activities, as well as the Candidates performance, reflect a continuous appreciation of Machine safety.

### *Foundational (Theoretical) Assessment for Operators*

The Foundational Assessment consists of theory written questions aimed to assess the Candidate's Foundational achievement of the outcomes of the applicable unit standard.

Illiterate or semiliterate Candidates may be assessed verbally in the presence of a witness. The Assessment sheet used in such cases is to be endorsed as 'Verbal'.

The format of the questions is optional, but it is recommended that a combination of Yes/No and multiple-choice questions be used. The requirement for written explanatory type answers is not recommended.

### *Practical Assessment for Operators.*

The practical Assessment is to be so organised to assess the Candidate's competence in achieving the unit standard and assessment criteria.

### *Marking of Assessments*

- Only a registered assessor shall perform assessments.
- Candidates must achieve a minimum of 85% in the practical assessment.
- Candidates must demonstrate competence on the Foundational (theory) assessment before being allowed to participate in the skills (practical) assessment.

### *Standard Obstacle Course for Operators.*

The standard dozer course and procedure was developed to standardise the assessment of operators, ensuring an equitable benchmark regardless of location. The obstacle course tests the competence of the operator through various generic manoeuvres. Modifications to the obstacle course may be necessary depending on the dozer and accessories fitted.

### *Test Route Preliminaries*

- Before testing may take place, the facilitator must complete the test route twice to ensure that it is practical and to familiarise himself with the sequences and the pallet positions.
- A marking control sheet must be used. The sheet is to be completed during the assessment to record faults as and when they occur.
- It is important to walk all learners through the route explaining both the requirements of the practical test and the criteria and method of marking.
- As a safety measure, ensure that no other persons including other learners are in the immediate vicinity of the obstacle course, during the actual assessment of a learner.

### *Practical Test Procedure*

The assessment requires the Learner to carry out all pre-start and start up checks on the dozer, inspect the site and lift to be carried out, manoeuvre the dozer into position, cut, fill and manoeuvre actions. The dozer will then be moved back to its original position and close down checks performed as required. The route will then be available to the next Learner without modification.



Materials for the assessment may include prepared loads, beacons, cones etc. However, on site existing features may be used, subject to the critical dimensions required by the dozer being used.

**Prior to Learners using the assessment route.** The following should be checked by the assessor:

- Site suitable for assessment
- Loads, location and rigging equipment available and suitable for dozer to be used
- Load charts and range diagrams for the specific dozer should be checked to assure suitability of dozer for lifting and manoeuvring required to be carried out
- Assessor to perform at least 2 test runs to check on suitability of all conditions and equipment for the assessment. Make any adjustments necessary following test runs. Note possible areas where penalty marks may be accumulated by Learners under assessment. The set marking form must be used during the assessment, and appropriately marked as and when faults occur.
- Walk Learners through the route before assessment begins, to familiarise them with the requirements of the assessment.

During the assessment, keep other Learners away from the site to remove some of the possible tension experienced during assessment.

The assessment procedure will be as follows:

- Oral questioning, listed in the assessor guide, relating to general pre-start/startup operations
- In the parked position, full pre-start and start up checks to be carried out using the prescribed checklist.
- Answer 5 questions from a bank of three sets verbally, regarding these checks
- Carry out a site inspection to ascertain safety of site and suitability of dozer for expected operation
- Drive the dozer to an appropriate position for the exercise to be carried out. This drive must consist at least of a 5 metre forward action, turn left 90°, turn right 90° and drive straight a further 5 metres or more.
- Set up the dozer in preparation for the operation
- Perform the required function according to instructions
- No markers, obstructions or other objects on site must be touched during the assessment
- Loads should be placed within 500mm of the designated marks.
- All controls must be used correctly and all safety rules adhered to.
- All assessments must be carried out by accredited assessors familiar with the Assessor Guide & operational procedures, and who are capable of noticing and recording faults accurately.
- Penalty points are graded according to the potential dangers and safety procedures associated with each operation.

Time constraints are important in reinforcing the requirements of production in the workplace. Candidates must be able to operate safely under pressure situations.

Learners should achieve a minimum of 75% on the theory assessment before proceeding to the practical assessment.

In order to be considered competent, a Learner should achieve no less than 85%. Where a Learner does not achieve this mark, a re-assessment may be carried out, or other evidence produced from the Facilitator and Learner during training, may be used to make a final decision on the Learners competence. Evidence must be evaluated on the principles outlined by SAQA in their Guidelines to Assessment. (Refer to Company Policy regarding Assessment Procedures). Re-assessment must be carried out according to the Policies & Procedures of the Training Provider company.

## *Close Down Checks*

The normal close down checks associated with the completion of the days work is to be carried out and any problems reported.

## *Reflexive Assessment for Operators*

Assessors must familiarize themselves with the appropriate Policies & Procedures of the company employing the Candidate. The presence of a company 'expert' on Policies & Procedures during questioning may be required, but the presence of such an 'expert' may prove intimidating for some Candidates.

Reflexive questioning of the candidate requires establishing the Candidate's ability to transfer the Foundational & Practical competencies into the workplace context.

Questioning should focus on "What if?" situations in the workplace, requiring the Candidate to apply Foundational & Practical competencies in a blend with Company Policies and Procedures and based on the circumstances of the presented situation.

The section on reflexive questioning contains generic questions. Should the Assessor ask more specific questions, spaces have been left below each generic question to record the question actually asked.

In all cases, Candidate's answers must be recorded in the blank space provided below the generic answer.

## UNIT STANDARD

This learning programme is aligned to the following unit standard:

Operate a tracked dozer

*Unit Standard ID*

262729

*NQF Level*

2

*Credits*

15

### *Specific Outcomes And Assessment Criteria*

*Specific outcome 1* - Demonstrate knowledge of the functions of a tracked dozer.

#### *Assessment criteria*

1. The main functions of a tracked dozer are explained in terms of manufacturer's specifications.
2. The operation of all major components is explained in terms of their functions.
3. The applications of a tracked dozer are described in terms of earthmoving activities.
4. All safety features and warning devices on the tracked dozer are identified, and their purposes explained in accordance with manufacturer's specifications.
5. The maximum operating capacities are explained in terms of the designed tracked dozer capabilities.
6. Warnings from tracked dozer indicators and gauges are explained according to manufacturers specifications.
7. Corrective actions are described or demonstrated in terms of neutralising warnings received.

*Specific outcome 2* - Plan for work activities and prepare work area.

#### *Assessment criteria*

1. Sequence of operations is determined according to site operational requirements.
2. Required equipment to perform the work activity is selected according to site operational requirements. Range: Equipment includes, but is not limited to: Machine attachments, personal protective equipment and safety signs. Work area is inspected and prepared according to site operational requirements.

*Specific outcome 3* - Start and shut down tracked dozer.

#### *Assessment criteria*

1. Pre-operational checks are carried out according to appropriate checklist.
2. Daily & weekly operator maintenance is performed according to the appropriate post-operational checklist
3. Start-up and shutdown procedures are followed according to manufacturer's specifications.
4. Tracked dozer is parked according to manufacturer's and worksite requirements.
5. Tracked dozer hours are documented in accordance with company requirements.

6. Tracked dozer maintenance and faults are reported in accordance with company.

*Specific outcome 4 - Operate tracked dozer.*

*Assessment criteria*

1. The purpose of the various controls is explained in accordance with their designed use.
2. Functions of the various controls are demonstrated in accordance with the manufacturer's specifications.
3. Temporary safety signs are explained in relation to their use and placement.
4. Tracked dozer performance is monitored and corrective action is taken when necessary, in accordance with manufacturer's specifications.
5. Tracked dozer is operated according to safe working procedures, manufacturer's specifications and earthmoving activity.

*Specific outcome 5 - Transport tracked dozer to and from site.*

*Assessment criteria*

1. Methods of loading a tracked dozer for transport are explained according to safety requirements, manufacturer's instructions and transport configuration.
2. Methods of securing a tracked dozer for transport are explained and demonstrated in relation to lashing points and safety requirements.

*Unit Standard Essential Embedded Knowledge*

The qualifying learner will be able to understand and explain relevant aspects of the following:

1. The Tracked dozer's operation procedures and main functions of all major components.
2. The maximum operating capacities of the designed Tracked dozer capabilities.
3. Statutory requirements including the Relevant Code of practice and Safety, Health & Environmental legislation.
4. Worksite procedures.

*Critical Cross-Field Outcomes (Ccfo):*

- Identify and solve problems related to monitoring the performance of a tracked dozer during operations in which responses display that critical thinking is used for responsible decision making.
- Work effectively as a member of a plant operation team with a civil construction team to achieve earthworks targets to required standard and within specified time frame.
- Organise and manage oneself and one's activities responsibly and effectively in maintaining and monitoring the optimal performance and functionality of the tracked dozer.
- Collect, analyse, organise and critically evaluate information about the functionality and performance of the tracked dozer in relation to the earthworks task to plan work activities and prepare work area.
- Communicate effectively using appropriate modes of oral and/or written persuasion in dealing with all internal and external role-players to plan work activity, prepare work area and complete earthmoving task according to safety requirements.
- Use science and technology to maintain and operate a tracked dozer in accordance with manufacturer's specifications and instructions in order to successfully complete a specific earthworks task.

## *Formative Assessments*

## *Summative Assessment Readiness Statement*

Note: R = Ready for summative assessment, NYR = Not yet Ready for summative assessment

Candidate's Name		ID No.	
Assessor's Name		Reg. No.	
Unit Standard Title			
<b>ASSESSMENT DECISION</b>			
Specific Outcome	R	NYR	Comments

### **Assessor's / Facilitator declaration:**

I hereby declare that I have assessed the learner's formative assessment and find the learner ready / not yet ready for the summative assessment

Assessor / Facilitator Name	Signature

## Questionnaire: Foundational assessment

**MINIMUM REQUIRED - 75%**

On commencing work:	
A start work immediately	
B complete all start up checks	
C disconnect battery	

What are pre-start checks?	
A check all controls are working	
B checks before entering vehicle	
C check that brakes work	

Pre-start checks must include:	
A reversing	
B driving forward	
C checking engine oil	

What are start up checks	
A pre-start checks	
B operational checks	
C bodywork checks	

Start up checks must include:	
A checking hydraulic oil level	
B checking brakes	
C checking tyres	

What must be done on finding a fault?	
A ignore it	
B report it to the supervisor	
C start work	

When refuelling, you must:	
A smoke	
B run the engine	
C have a fire extinguisher present	

If the vehicle starts making strange noises	
A ignore it	
B report it on job completion	
C stop & report to supervisor	

Accelerate and brake	
A quickly	
B smoothly	
C never	

Report incidents / accidents	
A when it is convenient	
B never	
C immediately	

Check dozer operation	
A daily	
B weekly	
C monthly	

The dozer is operated by	
A hydraulics	
B pneumatics	
C electricity	

Turning suddenly on a slope	
A is dangerous	
B is alright in reverse	
C is necessary	

When working near power lines	
A be very cautious	
B wear rubber boots & gloves	
C don't worry too much	



Engine speed when working is	
A not important	
B very important	
C difficult	

The safe working load (swl)	
A should be maintained constantly	
B may be overlooked	
C is not the operators problem	

During travelling dozer is	
A secured with slings	
B secured with appropriate locks	
C secured by the hand brake	

Close down checks should include	
A securing the site	
B securing the vehicle	
C securing the trailer	

Dozers operate on principles of	
A weight	
B gravity	
C leverage	

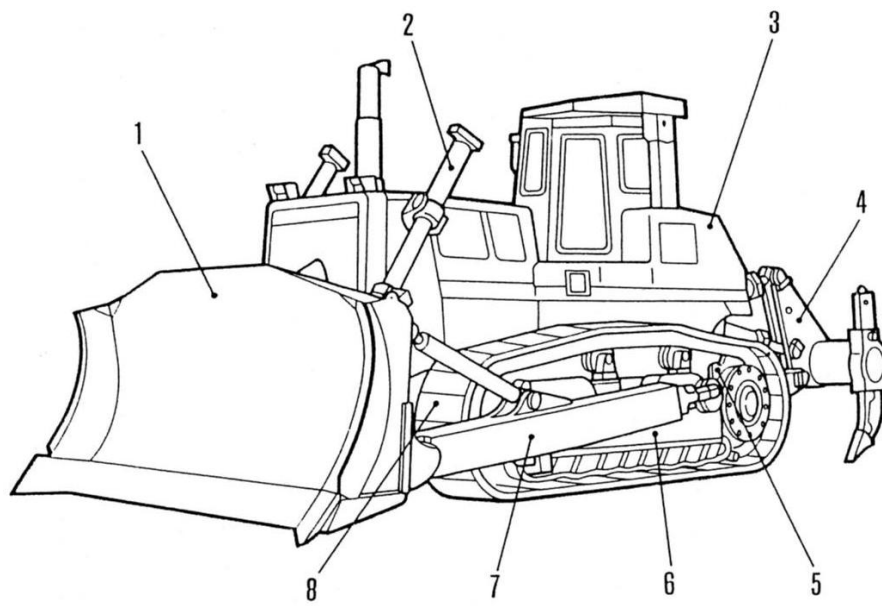
The inspection record book is known as	
A the dozer manual	
B the owners manual	
C the dozer log book	

In leveling operations, the bucket must be	
A angled to no more than 30°	
B angled to no more than 20°	
C angled to no more than 10°	

The bucket can be thrust in	
A at high travel speed	
B at any speed	
C at slow speed	

Total a	
---------	--

Write the number from the picture next to the correct part name	
	Blade lift cylinder
	Blade
	Ripper
	Fuel tank
	Sprocket
	Blade frame
	Track frame
	Track shoe
	TOTAL B



## *Verbal Assessment 1*

The generic questions found in the Assessor Guide may be used. Answers from candidates must be noted in the open spaces in the right hand column. Candidates should be presented with a minimum of 5 questions, but this can be increased depending on circumstances the Assessor may consider favourable to the Candidate.

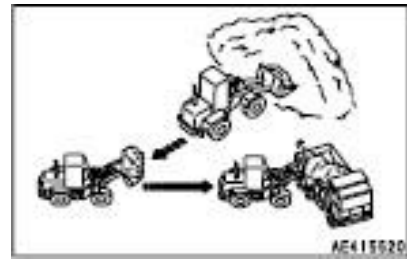
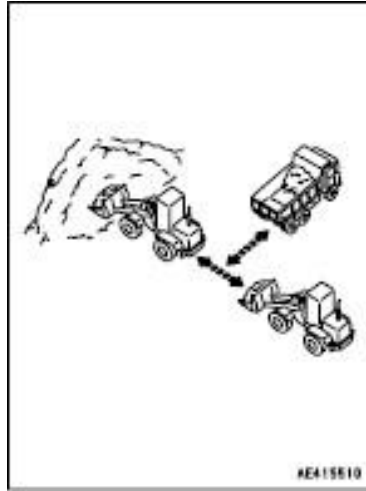
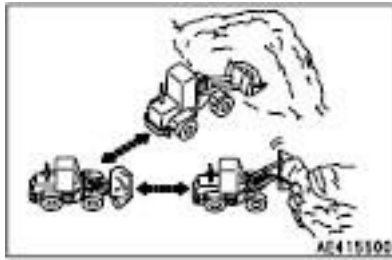
Would it be safe to use a dozer in rainy weather, where soil conditions are very soft?	

In instances where the Assessor needs to ask a more context specific question, the blank space in the left hand column should be used to record the question asked, and the right hand column for the candidate's response.

Describe two attachments that could be used on this machine. Why would you use them?	
<p>Assessors question</p> <p>Which of the attachments would you use to perform XXXXX operation and how would you go about arranging to use it?</p>	

Where necessary, additional questions may be asked and answered and noted on a blank page to be firmly attached to the reflexive questioning page of the Assessor Guide.

## *Observation checklist 1:*



Candidate to carry out the following exercises according to the requirements of the site.

- Site inspection
- Daily checks and documentation
- Start up
- Load piled soil
- Digging and loading
- Load and carry
- Cross drive loading
- V shape loading
- Levelling
- Park dozer
- Shut down procedures and documentation

## Practical assessment

Rating		NYC	Competent	Marks
1	Personal Safety			5
2	Walk Around Checks			5
3	Pre-start Checks			5
4	Mounting & Dismounting			5
5	Inside Cab Checks			5
6	EMS			5
7	Starting & Warming Procedure			5
8	Use of Hand Controls			5
9	Seating Position			2
10	Use of Foot Controls			2
11	Backfilling			2
12	Truck Loading			5
13	Use of Mirrors			2
14	Safety Awareness			5
15	Stockpiling			3
16	Loading			5
17	Use of Hooter			2
18	Front-end Loader Sympathy			2
19	Overall Observation			2
20	Shut Down Procedures			5
21	Loading & Tipping			3
22	Violent Collision			3
23	Hazardous Handling			4
24	Operating Dangerously			5
25	Awareness of By-standers			5
26	Awareness of Pedestrians			5
				100
If +85% Operator is Trainable 100% Required for Competency				

## EVIDENCE ANALYSIS

TOTAL	/100	Assessment decision	Competent	Not yet competent
%		Feedback assessor	Feedback candidate	Assessor sign
				CANDIDATE SIGN

## *Declaration Of Authenticity Of Evidence*

I (Initials and Surname)	
ID No:	
<p>declare/certify that the learning activities completed in the learner activity workbook in its entirety is my own original and authentic work (interpreter declaration to be completed where necessary) I acknowledge that should it come to the attention/reported to the training provider/ SETA or relevant authorities, and there is sufficient evidence to prove that there is an irregularity regarding the authenticity of this submission the necessary steps will be taken against me which can result in the one or more of following decisions being taken:</p>	
<ul style="list-style-type: none"> <li>A criminal case being opened,</li> <li>Learner achievement certificate cancelled, withdrawn</li> <li>Non processing of learner achievement submissions to the SETA pending the outcome of an investigation</li> <li>De-registration as an assessor/moderator (where unauthorised assistance is provided by the assessor/facilitator)</li> <li>Investigation into the accreditation status of the training provider if there is an irregularity on the part of the training provider</li> </ul>	
<p>I know and understand the contents of this declaration: I have no objection to signing the prescribed declaration, The declaration was also explained to me by the training provider/facilitator</p>	
Signature of Learner:	Date
Signature of facilitator/assessor:	Date

## ASSESSMENT REVIEW

NAME of LEARNER		NAME of ASSESSOR	
VENUE		DATE of REVIEW	
UNIT STANDARD	262729 Operate a tracked dozer		
Review Dimension	ASSESSOR	LEARNER/ CANDIDATE	ACTION
The principles/criteria for good assessment were achieved.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
The assessment related to the registered unit standard.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
The assessment was practical.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
It was time efficient and cost-effective and did not interfere with my normal responsibilities.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
The assessment instruments were fair, clear and understandable.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
The assessment judgements was made against set requirements.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
The venue and equipment was functional.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
Special needs were identified and the assessment plan was adjusted.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
Feedback was constructive against the evidence required.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
An opportunity to appeal was given.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
The evidence was recorded.	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	<input type="checkbox"/> Agree <input type="checkbox"/> Disagree	
LEARNER'S DECLARATION OF UNDERSTANDING			
I am aware of the moderation process and understand that the moderator could declare the assessment decision invalid.			
Learner	Date	Assessor	Date
Moderator	Date		



## *Candidate Feedback Report*

Candidate's Name		ID No.	
Assessor's Name		Reg. No.	
Unit Standard Title	262729 Operate a tracked dozer		
<b>ASSESSMENT DECISION</b>			
Source of Evidence	C	NYC	Comments
Assessments			
Projects			
Indirect Evidence			
Overall Assessment Decision			
Additional Notes			
Date			
Signature of Assessor		Signature of Candidate	

## *Candidate Appeal Form*

Candidate's Name:	ID No.	
Assessor's Name:	Reg. No.	
Operate a tracked dozer		
Date:		
<b>SECTION 1</b>		
Candidate's reason for disagreeing with the assessment decision.		
Assessor's rationale for the assessment decision.		
Candidate's signature.		
Assessor's signature.		
<b>SECTION 2</b>		
Internal Moderator's reconsidered decision and rationale		
Internal Moderator's Signature		
Advising Assessor's Signature		
Decision and rationale of the investigatory panel		
Learner Declaration	The above decisions have been explained to me and I accept the assessment decision	
Learner's Signature		

Date	
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## *Assessor's Report*

Candidate's Name		ID No.	
Assessor's Name		Reg. No.	
Unit Standard Title	262729 Operate a tracked dozer		
ASSESSMENT DECISION			
Specific Outcome	C	NYC	Comments
Demonstrate knowledge of the functions of a tracked dozer			
Plan for work activities and prepare work area			
Start and shut down tracked dozer			
Operate tracked dozer			
Transport tracked dozer to and from site			
Overall Assessment Decision.			
Comments			
Date			
Signature of Assessor	Signature of Candidate		

## *Moderator's Report*

Moderator's Name		Reg. No.	
Assessor's Name		Reg. No.	
Candidate's Name		ID No.	
Unit Standard Title	260729 Operate a tracked dozer		
MODERATION DECISION			
Specific Outcome	C	NYC	Comments
Demonstrate knowledge of the functions of a tracked dozer			
Plan for work activities and prepare work area			
Start and shut down tracked dozer			
Operate tracked dozer			
Transport tracked dozer to and from site			
Overall Moderation Decision			
Feedback to Assessor			
Action Required			
Date of Moderation			
Signature of Moderator			
Signature of Assessor			
Signature of Candidate			

## PORTFOLIO BUILDING

Your Portfolio of Evidence (PoE) contains the evidence needed to declare you competent and to award credits towards the award of this qualification to you. Evidence should be authentic and reflect both your knowledge of the subject and your ability to apply this knowledge in the workplace. Thus, evidence day to day activities supporting the specific outcomes addressed by this learning programme should complement the theoretical learning you attended and were assessed on.

There are FIVE key steps in creating a portfolio that will reflect your competence.

### *Plan Your Portfolio*

Plan and document the sequence, graphics and layout of your portfolio. This will assist you in following a logical sequence, which makes the Portfolio also much more user friendly and understandable for the assessor. It will also reflect your professional approach and attitude towards the subject matter, your work and your life. Impact and appearance always contribute to or affect your chances of being taken seriously and declared competent!

### *Gather the Evidence*

An evidence checklist has been provided (Section 4) to tell you what evidence needs to be gathered for assessment purposes. However, there are four broad categories of evidence that you should include:

- Knowledge evidence (your knowledge questionnaire)
- Direct performance evidence (actual samples of your work or records of activities captured on audio or video tape)
- Indirect performance evidence (documentary records of your performance e.g. appraisals, photographs, testimonials, self-assessments, customer ratings etc.)
- Supplementary evidence (to confirm the authenticity of your evidence)

### *Evaluate Your Evidence*

Once you have collected your evidence, evaluate each piece by ensuring that it is:

- Valid (relevant to the unit standard/s being assessed)
- Authentic (clearly your own work)
- Current (not more than 2 years old)
- Sufficient (adequate to prove your competence against all of the assessment criteria and range statements in the unit standard/s)

### *Cross-reference your evidence to the unit standards*

Evidence for assessment against unit standards must be linked to the outcomes of the unit standard in question. An evidence locator grid is useful for this.

### *Organise your information*

How you structure your portfolio is critical. Your design and layout must look professional and clearly articulate your achievements, and it should make sense to someone seeing it for the first time. Use the following structure as a guide:

1. **A title page indicating:**
  - The title of the programme
  - The unit standard titles to which the programme is aligned
  - The assessment centre (institute of corporate training)
  - Your name, position and organisation
  - Your contact details
  - The name of your assessor
  - The name of your moderator
  - The date
2. **An index**
3. **Background information**
  - Curriculum Vitae
  - Organisation profile
  - Job profile
  - Organisation/department structure
4. **A copy of the unit standard/s**
5. **Your assessment plan**
6. **Your completed Knowledge Questionnaire**
7. **An evidence locator grid**
8. **The evidence itself**
9. **Supporting evidence e.g. witness testimonies, reflections and witness status list**
10. **Assessment records**

## *Moderation*

### *Moderation Of Assessments Must Be Planned In Order To:*

- Identify the outcomes as per unit standards
- Identify the evidence to be collected
- Identify steps of a logical process
- Design an appropriate assessment (criteria and tool)
- Review success or adjustments to be made to the assessments
- Provide appropriate feedback and set targets and action plans

### *Pre-Assessment Moderation*

This occurs prior to assessment taking place and includes moderation of:

- Assessor suitability/qualifications
- Assessment guidelines which are explained to all assessors in bi-weekly meetings
- Standardised assessment tools which are reviewed in assessor meetings
- Guidelines for organising evidence (see Portfolio of Evidence guidelines)
- Assessor/candidate appeals process
- The assessor must consult with the moderator to ensure that the assessment instrument is valid, reliable and practicable. The moderation model will be the assessor moderator comparison, so as to ensure that the assessment instrument is fit for purpose and that

the assessment plan is adequate in order to achieve the outcomes of the assessment process.

### *Post Assessment Moderation*

Post-assessment moderation must take place at the end of the assessment process, once feedback has been given to the candidate.

Post-assessment moderation must check specifically that the evidence on which the decision of competence is based is valid, authentic, current and sufficient. Until post-assessment moderation has taken place, the assessment process is incomplete, as there is a chance that the moderator may disagree with the assessor regarding the decision reached in terms of competence.

Even so, the candidate needs to be cautioned that external moderation/verification needs to take place prior to candidate achievement being confirmed and recorded on the National Candidate Record Database.

The focus in post-assessment moderation is also to address continuous improvement of assessment activities and tools. The moderator needs to critically evaluate the review process and ensure that candidate consultation in the review process was both meaningful and constructive i.e. avoid simplistic yes/no questions which give little qualitative data.

25% of all assessment sampling across the board is moderated. The samples are representative of assessments conducted by each assessor and for each project